

12/13/01  
j1044 U.S.

12-18-01

EV002169295US

PTO/SB/05 (03-01)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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|   |  |   |
|---|--|---|
| <b>UTILITY<br/>PATENT APPLICATION<br/>TRANSMITTAL</b> |  | <b>Attorney Docket No.</b> PA1682US   |
|   |  | <b>First Inventor</b> Moriconi  |
|   |  | <b>Title</b> System And Method For Maintaining Security In A Distributed Computer Network |
|   |  | <b>Express Mail Label No.</b> EV002169295 US  |

(Only for new nonprovisional applications under 37 CFR 1.53(b))

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1.  Fee Transmittal Form (e.g., PTO/SB/17)  
*(Submit an original and a duplicate for fee processing)*
2.  Applicant claims small entity status.  
See 37 CFR 1.27.
3.  Specification [Total Pages 59]
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (*if filed*)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4.  Drawing(s) (35 U.S.C. 113) [ Total Sheets 20 ]
5. Oath or Declaration [ Total Pages  ]
  - a.  Newly executed (original or copy)
  - b.  Copy from a prior application (37 CFR 1.63 (d))  
*(for continuation/divisional with Box 18 completed)*
    - i.  **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6.  Application Data Sheet. See 37 CFR 1.76

**ADDRESS TO:** Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7.  CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
*(if applicable, all necessary)*
  - a.  Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i.  CD-ROM or CD-R (2 copies); or
    - ii.  paper
  - c.  Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9.  Assignment Papers (cover sheet & document(s))
10.  37 CFR 3.73(b) Statement  Power of Attorney  
*(when there is an assignee)*
11.  English Translation Document (*if applicable*)
12.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS Citations
13.  Preliminary Amendment
14.  Return Receipt Postcard (MPEP 503)  
*(Should be specifically itemized)*
15.  Certified Copy of Priority Document(s)  
*(if foreign priority is claimed)*
16.  Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17.  Other: **Unsigned Declaration & P.O.A.**  
**Fee Transmittal (2), Check for \$739**

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

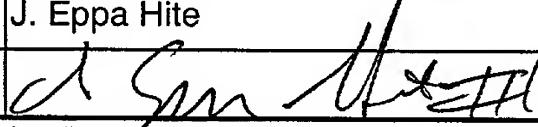
 Continuation  Divisional  Continuation-in-part (CIP)

of prior application No.: 09,721,557

Prior application information: Examiner \_\_\_\_\_

Group Art Unit: Unknown

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.**19. CORRESPONDENCE ADDRESS**

|   |  |                                   |   |
|---|--|-----------------------------------|---|
| <input checked="" type="checkbox"/> Customer Number or Bar Code Label | (Insert Customer No. or Attach bar code label here)                                  |                                   | <input type="checkbox"/> or <input type="checkbox"/> Correspondence address below |
| Name  |  |                                   |   |
| Address   | 22830 PATENT TRADEMARK OFFICE  |                                   |   |
|   | City   | State                             | Zip Code  |
| Country   | Telephone  |                                   | Fax   |
| Name (Print/Type)   | J. Eppa Hite   | Registration No. (Attorney/Agent) | 30,266  |
| Signature   |  |                                   | Date 12/13/2001   |

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# FEE TRANSMITTAL

## for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 739.00)

## Complete if Known

|                      |                   |
|----------------------|-------------------|
| Application Number   | Unknown           |
| Filing Date          | December 13, 2001 |
| First Named Inventor | Moriconi          |
| Examiner Name        | Unknown           |
| Group Art Unit       | Unknown           |
| Attorney Docket No.  | PA1682US          |

## METHOD OF PAYMENT

1.  The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 06-0600

Deposit Account Name Carr & Ferrell, LLP

Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

Applicant claims small entity status. See 37 CFR 1.27

2.  Payment Enclosed:

Check  Credit card  Money Order  Other

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity Small Entity

| Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description |
|----------|----------|----------|----------|-----------------|
|----------|----------|----------|----------|-----------------|

|     |     |     |     |                        |
|-----|-----|-----|-----|------------------------|
| 101 | 740 | 201 | 370 | Utility filing fee     |
| 106 | 330 | 206 | 165 | Design filing fee      |
| 107 | 510 | 207 | 255 | Plant filing fee       |
| 108 | 740 | 208 | 370 | Reissue filing fee     |
| 114 | 160 | 214 | 80  | Provisional filing fee |

Fee Paid

370

SUBTOTAL (1) (\$ 370)

## 2. EXTRA CLAIM FEES

| Total Claims       | Extra Claims | Fee from below | Fee Paid       |
|--------------------|--------------|----------------|----------------|
| 33                 | -20*         | =13            | x 9 = 117      |
| Independent Claims | 9            | - 8*           | = 6 x 42 = 252 |
| Multiple Dependent |              |                | = 0            |

Large Entity Small Entity

| Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description |
|----------|----------|----------|----------|-----------------|
|----------|----------|----------|----------|-----------------|

|     |     |     |     |  |
|-----|-----|-----|-----|--|
| 103 | 18  | 203 | 9   | Claims in excess of 20                                     |
| 102 | 84  | 202 | 42  | Independent claims in excess of 3                          |
| 104 | 280 | 204 | 140 | Multiple dependent claim, if not paid                      |
| 109 | 84  | 209 | 42  | ** Reissue independent claims over original patent         |
| 110 | 18  | 210 | 9   | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2)

(\$ 369)

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

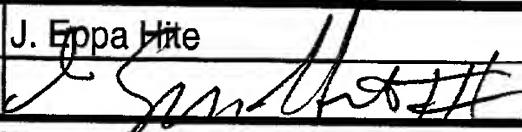
## 3. ADDITIONAL FEES

| Large Entity Fee Code     | Small Entity Fee Code | Fee (\$) | Fee (\$) | Fee Description  | Fee Paid |
|---------------------------|-----------------------|----------|----------|--|----------|
| 105                       | 130                   | 205      | 65       | Surcharge - late filing fee or oath  |          |
| 127                       | 50                    | 227      | 25       | Surcharge - late provisional filing fee or cover sheet                     |          |
| 139                       | 130                   | 139      | 130      | Non-English specification  |          |
| 147                       | 2,520                 | 147      | 2,520    | For filing a request for ex parte reexamination                            |          |
| 112                       | 920*                  | 112      | 920*     | Requesting publication of SIR prior to Examiner action                     |          |
| 113                       | 1,840*                | 113      | 1,840*   | Requesting publication of SIR after Examiner action                        |          |
| 115                       | 110                   | 215      | 55       | Extension for reply within first month                                     |          |
| 116                       | 400                   | 216      | 200      | Extension for reply within second month                                    |          |
| 117                       | 920                   | 217      | 460      | Extension for reply within third month                                     |          |
| 118                       | 1,440                 | 218      | 720      | Extension for reply within fourth month                                    |          |
| 128                       | 1,960                 | 228      | 980      | Extension for reply within fifth month                                     |          |
| 119                       | 320                   | 219      | 160      | Notice of Appeal   |          |
| 120                       | 320                   | 220      | 160      | Filing a brief in support of an appeal                                     |          |
| 121                       | 280                   | 221      | 140      | Request for oral hearing   |          |
| 138                       | 1,510                 | 138      | 1,510    | Petition to institute a public use proceeding                              |          |
| 140                       | 110                   | 240      | 55       | Petition to revive - unavoidable   |          |
| 141                       | 1,280                 | 241      | 640      | Petition to revive - unintentional   |          |
| 142                       | 1,280                 | 242      | 640      | Utility issue fee (or reissue)   |          |
| 143                       | 460                   | 243      | 230      | Design issue fee   |          |
| 144                       | 620                   | 244      | 310      | Plant issue fee  |          |
| 122                       | 130                   | 122      | 130      | Petitions to the Commissioner  |          |
| 123                       | 50                    | 123      | 50       | Processing fee under 37 CFR 1.17(q)  |          |
| 126                       | 180                   | 126      | 180      | Submission of Information Disclosure Stmt                                  |          |
| 581                       | 40                    | 581      | 40       | Recording each patent assignment per property (times number of properties) |          |
| 146                       | 740                   | 246      | 370      | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 149                       | 740                   | 249      | 370      | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 179                       | 740                   | 279      | 370      | Request for Continued Examination (RCE)                                    |          |
| 169                       | 900                   | 169      | 900      | Request for expedited examination of a design application                  |          |
| Other fee (specify) _____ |                       |          |          |  |          |

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 0)

## SUBMITTED BY

|                   |   |                                   |        |                   |                |
|-------------------|---|-----------------------------------|--------|-------------------|----------------|
| Name (Print/Type) | J. Eppa Hite  | Registration No. (Attorney/Agent) | 30,266 | Telephone         | (650) 812-3400 |
| Signature         |  |                                   | Date   | December 13, 2001 |                |

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

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**REQUEST AND CERTIFICATION  
UNDER  
35 U.S.C. 122(b)(2)(B)(i)**

|                      |  |
|----------------------|--|
| First Named Inventor | Moriconi   |
| Title                | System And Method For Maintaining Security In A Distributed Computer |
| Atty Docket Number   | PA1682US   |

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

12-13-01

Date



Signature

J. Eppa Hite III, Reg. No. 30,266

\_\_\_\_\_  
Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**